

SECRETARY OF STATE
Date/Time Stamp: 17 JUN 13 PM 1:29

COVER SHEET FOR AMENDMENT OF POST-TRAVEL SUBMISSION

Instructions: Use this form as a cover sheet for any paperwork you may need to submit to the Office of Public Records in order to make your Privately Sponsored Post-Travel Submission complete in accordance with Rule 35. Only complete this form if you need to submit an amendment to a post-travel filing you have already submitted.

SUBMIT DIRECTLY TO THE OFFICE OF PUBLIC RECORDS IN 232 HART BUILDING

Name of Traveler: David Simons

Employing Office/Committee: Tillis

Private Sponsor(s) (List all): DTCC

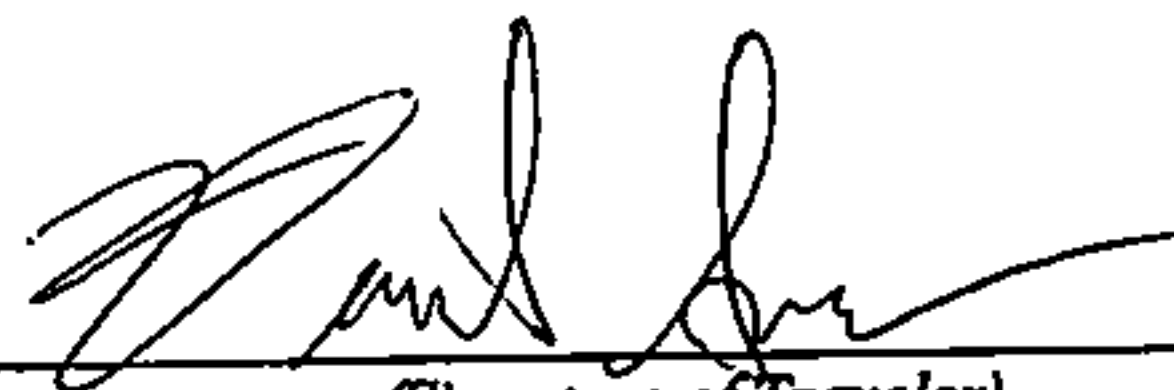
Travel Date(s): May 4-5, 2017

Description/Title of Attached Forms: Amended RE-2 Form; PSTCF (final version)

Purpose of Amendment (describe the reason for amending original submission): Post-travel submission
must be amended with the Office of Public Records in SH-232.

6/13/17

(Date)



(Signature of Traveler)

Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the Office of Public Records in 232 Hart Building.

17 JUN -5 AM 10:03

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The original Employee Pre-Travel Authorization (Form RE-1), AND
- ☒ A copy of the Private Sponsor Travel Certification Form with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): DTCC

→ Travel date(s): May 4-5 2017 DHS

Name of accompanying family member (if any): none

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate	566	220	60	
<input type="checkbox"/> Actual Amount				

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate				
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): See final itinerary

6/5/17
(Date)

David Simons
(Printed name of traveler)

David Simons
(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the Employee Pre-Travel Authorization form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

6.5.17
(Date)

Thomas Tellis
(Signature of Supervising Senator/Officer)

Form RE-2

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PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

-
1. Sponsor(s) of the trip (please list all sponsors): DTCC
-
2. Description of the trip: Senate and House staff will participate in a series of roundtables and briefings by financial market industry leaders to learn about topics and trends in market functions and regulation
-
3. Dates of travel: May 4 - 5, 2017
4. Place of travel: New York, NY
-
5. Name and title of Senate invitees: See attached
-
6. I *certify* that the trip fits one of the following categories:
- ☐ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal and do not retain or employ registered lobbyists or agents of a foreign principal and no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.
- OR -
- ☒ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
-
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
- AND -
- ☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
-
8. I *certify* that:
- ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.
- AND -
- ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☒ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

– OR –

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (see questions 6 and 10).

– OR –

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

DTCC planned the agenda, including inviting the participation of other industry members, and bore the full cost of travel and attendance for all Senate employees

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

DTCC is a user-owned and operated financial market utility with the mission of increasing efficiency and minimizing risk in the financial markets. DTCC's members and industry partners believe sharing information related to that mission with staff to policymakers serves to promote better public policy.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

DTCC has sponsored a similar trip (destination NYC for Senate Banking, Ag, Commerce, and Approps staff) numerous times in the past, with the most recent trip occurring in March 2015.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

DTCC hosts educational conferences and events in New York and Washington, including briefings

specifically tailored to the interests of Congressional staff on topics such as equity market structure, an

introduction to clearing and settlement, and an introduction to distributed ledger technology

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate	\$350	\$189	\$80	N/A
<input type="checkbox"/> Actual Amounts				

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

B) - this trip is arranged specifically with regard to congressional participation

18. Reason for selecting the location of the event or trip

Site of DTCC's corporate headquarters

19. Name and location of hotel or other lodging facility:

DoubleTree New York Financial District

20. Reason(s) for selecting hotel or other lodging facility:

Combination of best rate within proximity to event location

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

The anticipated lodging and meal costs are less than the maximum per diem rates for official travel for NY

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Business-class (lowest fare available) Acela ticket

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

N/A

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor: Mark Wetjen

Name and Title: Mark Wetjen, Managing Director and Head of Global Public Policy

Name of Organization: DTCC

Address: 1455 Pennsylvania Ave, NW Suite 725 Washington, DC 20004

Telephone Number: 202-383-2875

Fax Number: _____

E-mail Address: mwetjen@dtcc.com

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